



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Toshiharu Furukawa et al. : Date: March 20, 2006  
Group Art Unit: 2811 : IBM Corporation  
Examiner: Steven Ho Yin Loke : Intellectual Property Law  
Serial No.: 10/777,576 : Dept. 917, Bldg. 006-1  
Filed: February 12, 2004 : 3605 Highway 52 North  
Title: VERTICAL CARBON NANOTUBE : Rochester, MN 55901  
FIELD EFFECT TRANSISTORS AND  
ARRAYS

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with

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Serial No. 10/777,576  
Docket No. ROC920030271US1

37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(c) before a final action or notice of allowance. The filing fee of \$180.00 (for other than a small entity) is to be charged to our Deposit Account No. 09-0465.

I hereby certify that this  
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March 20, 2006

(Date of Deposit)

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Respectfully submitted,

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PTO/SB/08A

Application Number.: 10/777,576Filing Date: February 12, 2004**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**First Named Inventor: Toshiharu FurukawaArt Unit: 2811Examiner Name: Steven Ho Yin LokeAttorney Docket Number.: ROC920030271US1

Sheet 1 of 2

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
		US - 2002/0163079 A1	11-07-2002	Awano	
		US - 2003/0132461 A1	07-17-2003	Roesner et al.	
		US - 2003/0227015 A1	12-11-2003	Choi et al.	
		US -			
		US -			
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		US -			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>
		EP 1 331 671 A1	07-30-2003	Aono et al.		
		EP 1 361 608 A2	11-12-2003	Haase		
		EP 1 435 660 A2	07-07-2004	Cheong et al.		
		WO 03/063208 A2	07-31-2003	Dehon et al.		

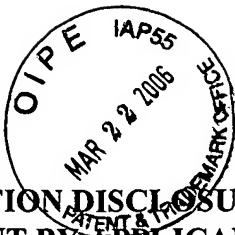
Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.: 10/777,576  
 Filing Date: February 12, 2004  
 First Named Inventor: Toshiharu Furukawa  
 Art Unit: 2811  
 Examiner Name: Steven Ho Yin Loke  
 Attorney Docket Number.: ROC920030271US1

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published.	T <sup>2</sup>
		G. S. DUESBERG, et al., "Way towards the scaleable integration of carbon nanotubes into silicon based technology," Diamond and Related Materials; Elsevier Science Publishers; Amsterdam, NL; vol. 13, no. 2; February 1, 2004; pages 354-361; XP004492567.	

Examiner Signature		Date Considered	
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